

DEPARTMENT OF HEALTH AND HUMAN SERVICES  
PUBLIC HEALTH SERVICE  
FOOD AND DRUG ADMINISTRATION

Form Approved: OMB No. 0910-0297  
Expiration Date: 04-30-01

# USER FEE COVER SHEET

**See Instructions on Reverse Side Before Completing This Form**

1. APPLICANT'S NAME AND ADDRESS

3. PRODUCT NAME

4. DOES THIS APPLICATION REQUIRE CLINICAL DATA FOR APPROVAL?  
IF YOUR RESPONSE IS "NO" AND THIS IS FOR A SUPPLEMENT, STOP HERE  
AND SIGN THIS FORM.

IF RESPONSE IS 'YES', CHECK THE APPROPRIATE RESPONSE BELOW:

☐ THE REQUIRED CLINICAL DATA ARE CONTAINED IN THE APPLICATION.

☐ THE REQUIRED CLINICAL DATA ARE SUBMITTED BY  
REFERENCE TO \_\_\_\_\_

(APPLICATION NO. CONTAINING THE DATA).

2. TELEPHONE NUMBER (Include Area Code)

(       )

5. USER FEE I.D. NUMBER

6. LICENSE NUMBER / NDA NUMBER

7. IS THIS APPLICATION COVERED BY ANY OF THE FOLLOWING USER FEE **EXCLUSIONS**? IF SO, CHECK THE APPLICABLE EXCLUSION.

☐ A LARGE VOLUME PARENTERAL DRUG PRODUCT  
APPROVED UNDER SECTION 505 OF THE FEDERAL  
FOOD, DRUG, AND COSMETIC ACT BEFORE 9/1/92  
(Self Explanatory)

☐ A 505(b)(2) APPLICATION THAT DOES NOT REQUIRE A FEE  
(See item 7, reverse side before checking box.)

☐ THE APPLICATION QUALIFIES FOR THE ORPHAN  
EXCEPTION UNDER SECTION 736(a)(1)(E) of the Federal Food,  
Drug, and Cosmetic Act  
(See item 7, reverse side before checking box.)

☐ THE APPLICATION IS A PEDIATRIC SUPPLEMENT THAT  
QUALIFIES FOR THE EXCEPTION UNDER SECTION 736(a)(1)(F) of  
the Federal Food, Drug, and Cosmetic Act  
(See item 7, reverse side before checking box.)

☐ THE APPLICATION IS SUBMITTED BY A STATE OR FEDERAL  
GOVERNMENT ENTITY FOR A DRUG THAT IS NOT DISTRIBUTED  
COMMERCIALY  
(Self Explanatory)

## FOR BIOLOGICAL PRODUCTS ONLY

☐ WHOLE BLOOD OR BLOOD COMPONENT FOR  
TRANSFUSION

☐ A CRUDE ALLERGENIC EXTRACT PRODUCT

☐ AN APPLICATION FOR A BIOLOGICAL PRODUCT  
FOR FURTHER MANUFACTURING USE ONLY

☐ AN "IN VITRO" DIAGNOSTIC BIOLOGICAL PRODUCT  
LICENSED UNDER SECTION 351 OF THE PHS ACT

☐ BOVINE BLOOD PRODUCT FOR TOPICAL  
APPLICATION LICENSED BEFORE 9/1/92

8. HAS A WAIVER OF AN APPLICATION FEE BEEN GRANTED FOR THIS APPLICATION?

☐ YES

☐ NO

(See reverse side if answered YES)

**A completed form must be signed and accompany each new drug or biologic product application and each new supplement. If payment is sent by U.S. mail or courier, please include a copy of this completed form with payment.**

**Public reporting burden for this collection of information** is estimated to average 30 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden to:

DHHS, Reports Clearance Officer  
Paperwork Reduction Project (0910-0297)  
Hubert H. Humphrey Building, Room 531-H  
200 Independence Avenue, S.W.  
Washington, DC 20201

An agency may not conduct or sponsor, and a person is not  
required to respond to, a collection of information unless it  
displays a currently valid OMB control number.

Please **DO NOT RETURN** this form to this address.

SIGNATURE OF AUTHORIZED COMPANY REPRESENTATIVE

TITLE

DATE

## INSTRUCTIONS FOR COMPLETING USER FEE COVER SHEET FORM FDA 3397

Form FDA 3397 is to be completed for and submitted with each new drug or biologic product original application or supplemental application submitted to the Agency on or after April 27, 1998. Form 3397 should be placed in the first volume of the application with the application form. A copy of Form 3397 should be included with the fee payment.

- | ITEM NOS. | INSTRUCTIONS   |
|-----------|--|
| 1-2.      | <b>Self-explanatory</b>  |
| 3.        | <b>PRODUCT NAME</b> - Include generic name and trade name, as applicable.  |
| 4.        | <b>CLINICAL DATA</b> - The definition of 'clinical data' for the assessment of user fees is found in Interim Guidance: Separate Marketing Applications and Clinical Data for Purposes of Assessing User Fees under the Prescription Drug User Fee Act of 1992.   |
| 5.        | <b>USER FEE I.D. NUMBER - PLEASE INCLUDE THIS NUMBER ON THE APPLICATION PAYMENT CHECK.</b> If the application is exempted from a fee, a User Fee I.D. Number is not required. To obtain the appropriate User Fee I.D. Number, read and complete the following:<br><br><b>FOR DRUG PRODUCTS</b> - A unique identification number will be assigned to each submission. This individual identification number may be obtained by calling the Center for Drug Evaluation and Research, Central Document Room, at (301) 827-4210.<br><br><b>FOR BIOLOGIC PRODUCTS</b> - The first 4 characters are the U.S. License Number, including leading zeros; the next 4 characters are the product code (2 letters followed by 2 numbers); and the last 7 characters are the date on the cover letter of the submission, in the format: DDMONYR. If the facility is unlicensed, or the product code is unknown, a number can be obtained by calling the Center for Biologics Evaluation and Research, at (301) 827-3503.<br><br><b>EXAMPLE:</b> For U.S. License Number 4, product code XX01, with a document submission date of 8/3/93, the number would be: 0004XX0103AUG93.  |
| 6.        | <b>LICENSE NUMBER / NDA NUMBER</b><br><br><b>FOR BIOLOGIC PRODUCTS</b> - Indicate the U.S. License Number. If the facility is unlicensed, leave this section blank.<br><br><b>FOR DRUG PRODUCTS</b> - Indicate the NDA number, including a leading zero. NDA numbers can be obtained by calling the Center for Drug Evaluation and Research, Central Document Room, at (301) 827-4210.<br><br><b>EXAMPLE:</b> For NDA 99999, the number would be: NO99999.   |
| 7.        | <b>EXCLUSIONS:</b><br><br>Section 505(b)(2) applications, as defined by the Federal Food, Drug, and Cosmetic (FD&C) Act, are excluded from application fees if: they are NOT for a new molecular entity which is an active ingredient (including any salt or ester of an active ingredient); or NOT a new indication for use.<br><br>The application is for an orphan product. Under section 736(a)(1)(E) of the FD&C Act, a human drug application is not subject to an application fee if the proposed product is for a rare disease or condition designated under section 526 of the FD&C Act (orphan drug designation) AND the application does not include an indication that is not so designated. A supplement is not subject to an application fee if it proposes to include a new indication for a rare disease or condition, and the drug has been designated pursuant to section 526 for a rare disease or condition with regard to the indication proposed in the supplement.<br><br>The submission is a supplement for a new pediatric indication. Under section 736(a)(1)(F) of the FD&C Act, a supplement to a "human drug application" proposing to include a new indication for use in pediatric populations is not subject to a fee. |
| 8.        | <b>WAIVER</b> - Complete this section only if a waiver of user fees, including the small business waiver, has been granted for this application. A copy of the official FDA notification that the waiver has been granted must be provided with the submission.  |